

## **Case Study in Campaign Financing of a Candidate for State Representative**

Mary Smith is seeking election to the office of State Representative in the city of New Haven, CT.

On July 26, 2000, Alfred T. Butler was appointed the campaign treasurer of the "Elect Mary Smith State Representative" Committee. Contributions initially made to the candidate committee were as follows:

- (1) a check of \$25 from Leslie Jones,
- (2) a check of \$80 from John Brown, a registered lobbyist,
- (3) \$40 in cash from Samuel Johnston,
- (4) a check of \$200 from Jack Smith (Mary's husband),
- (5) a check of \$100 from the New Haven Town Committee, and
- (6) a check of \$100 from the Better Connecticut PAC.

All checks were received on July 28, 2000. In addition, two loans were made to the committee as follows: \$800 by Fleet Bank which was guaranteed by Peter Penguin and Samuel Johnston, and \$400 by the candidate, Mary Smith. Mary also gave \$600 to the committee with no expectation of repayment.

On August 10, the candidate paid \$70 to EZ Printing for campaign brochures, and purchased a \$50 ticket for a charitable event sponsored by the United Way of New Haven.

On August 15, Mr. Butler paid \$500 to The Register for advertising. The New Haven Town Committee also produced a flyer for various candidates and the pro-rata share paid by each candidate committee was \$200.

On August 20, a barbecue was held at the residence of Richard Romeo, who spent less than \$200 for food, beverage and invitations. During this barbecue, a hat was passed around which yielded \$15 in one-dollar bills.

On September 1, the committee account was credited with \$5 in interest, and debited \$6 for service charges by Fleet Bank. On September 3, Mr. Butler made a partial repayment of \$100 to Fleet Bank for its loan. The New Haven Town Committee provided headquarters space to its legislative candidates, and the value of the pro-rata space given to the "Elect Mary Smith for State Representative" Committee was \$200. Mr. Butler issued a committee check for \$200 to the New Haven Town Committee.

On September 9, a picnic was held at Quinnipiac River Park. Tickets were sold for \$20 each. Cathy White donated \$100 worth of stamps and envelopes for invitations to the event. Mary Smith, the candidate, purchased, with the intent of being reimbursed, \$100 worth of lumber for signs from New Haven Lumber and \$20 of paper goods from Kyle Party Goods. The food was purchased on September 1 at Foodways Market for \$110 and the soda was purchased from

Beverages R Us for \$30 by Leslie Jones. Ms. Jones was reimbursed \$140 with committee funds. Twenty-two (22) tickets were sold. Twenty (20) tickets were purchased separately by different individuals, who made no other donations to the committee, and two (2) tickets were sold to Dick Grayson.

On September 15, a golf outing was held. The price of admission was \$60 per individual which included green fees, cart, and lunch at the club house. Due to inclement weather, only five (5) individuals showed up. Four (4) tickets were sold to Max Shreck, and one ticket was sold to Jeff Garfield. On September 19, the committee paid \$400 to the New Haven Country Club for the outing.

Several local businesses donated the following items for the golf outing: \$100 worth of beverages from "Drinks Are Us," \$40 worth of golf balls from Dick's Sport Shop and \$94 worth of hats from Shrecks Department Store. The committee produced a program book for this event in which advertisements were sold. The cost of a half-page ad was \$50, and a full-page ad cost \$100. Of the five (5) full-page ads sold, four (4) were to business entities, and one to an individual, Bruce Wayne. There were six (6) half-page ads sold; two were sold to partnerships, and the others to individuals. The program book and tickets were printed by EZ Printing on September 5 at a charge of \$100, and these expenses have not been paid.

Finally, on September 25, an expense of \$100 for radio ads from WELI was incurred, but not paid. The candidate's expenses were reimbursed at that time.

## **Completion of the Statement of Receipts and Expenditures (ED-45) for the “Elect Mary Smith State Representative” Committee**

On July 26, 2000, Alfred T. Butler was appointed the campaign treasurer for the “Elect Mary Smith State Representative” Committee.

### ***RECEIPTS***

#### **Reporting Small Contributions**

At the beginning of the campaign, four (4) individuals made monetary contributions. Leslie Jones contributed \$25 by check. As this contribution was not more than \$30, the threshold for itemized disclosure, there is no need to identify her name and address (and “lobbyist” status) on the statement. This contribution is entered in Section A, “Total Contributions from small contributors.” This will be added together with other contributions of \$30 or less from individuals.

#### **Reporting Contributions over \$30**

The second contribution was \$80 by check from John Brown, a registered lobbyist. The third contribution was \$40 in cash from Samuel Johnston. Each of these contributions must be itemized separately in Section B, “Contributions from Individuals over \$30.00 in the Aggregate.” The box for “Lobbyist” identification is checked off in the case of John Brown. For each contributor, the complete residence address of the contributor, and the form, date and amount of the contribution is entered. The use of the aggregate box will be discussed later. The next contribution was \$200 by check from Mary Smith’s husband, Jack. This is also entered in Section B. For contributions in excess of \$100 but not exceeding \$1,000 the treasurer must make a good faith effort to obtain the donor's principal occupation and employer's name. Such good faith effort, in the case of a written solicitation for funds, would include that the solicitation contain a request for the donor's principal occupation and employer's name; in the case of an unsolicited contribution of more than \$100, the treasurer should make a written request for the information from the contributor. (If the contribution is more than \$1,000 the treasurer is required to obtain this information, as well as an answer to the question “*Does the contributor or business he/she is associated with have a contract with the State valued at more than \$5,000?*” before the funds are deposited; note: contribution limit is \$250 for state representative, and \$500 for state senate.) Contributions from the candidate’s spouse or other family members must be disclosed and are subject to the \$250 aggregate contribution limitation per individual, to a candidate for State Representative.

## Contributions from other Committees

Two (2) other committees each contributed \$100 by check to the candidate committee. The first was from the "New Haven Town Committee," a party committee, and the other was "Better Connecticut PAC," a political committee formed by two or more individuals. Both of these contributions are entered separately in Section C, "Contributions and reimbursements from Other Committees." Neither of these committees is limited in the amount it can contribute to a candidate.

## Anonymous Contributions

During the barbecue on August 20, the committee received anonymous contributions of \$15 in one dollar bills. This is reported in Section D, "Anonymous Contributions" with the denomination of the bills indicated.

## In kind Donations for Fundraisers Not Considered Contributions – Not Reported

The barbecue was held by Mr. Romeo at his residence. He spent less than \$200 for food, beverages and invitations. In accordance with Section 9-333b(b)(5), General Statutes, these expenses are not considered contributions and need not be reported. The exemption applies for each candidate but only to an individual and only if the fundraiser is hosted at his or her own residence.

A similar exemption applies to an individual who hosts an event for a party committee if the individual does not spend more than \$400 during the calendar year hosting such events for the town committee. There is no such exclusion for hosting events for a political committee.

## Candidate's Donation Not Considered as Contribution

In addition to making a loan of money to her committee, (discussed later) Mary Smith gave \$600 to her committee outright. A gift or loan from the candidate to his/her candidate committee is not a contribution (and is therefore unlimited in amount). This amount is entered in Section G, "Personal Funds of the Candidate Received this Period."

## Interest

On September 1, the committee account was credited with interest of \$5. which is entered in Section H, "Interest from Deposits in Authorized Accounts."

## Loans

Two (2) loans were also obtained: \$800 from the Fleet Bank, guaranteed by Peter Penguin and Samuel Johnston, and another for \$400 from Mary Smith,

the candidate. The principal amounts of the loans are recorded in Section I, "Loans Received This Period." For each loan, the creditor's name and complete address are entered, accompanied by the names and addresses of each guarantor. A guarantee of a loan is not considered a contribution, unless and until the committee defaults and the guarantor repays some or all of it.

### Receipts from Fundraising Event Tickets

On September 9, a picnic was held, and the ticket price was \$20. Twenty-two (22) tickets were sold. Twenty (20) were purchased by different individuals, for a total of \$400. These contributors made no other contributions to the committee making their individual total \$20 in the aggregate. Since these contributions were separately not more than \$30, the threshold for itemized disclosure, there is no need to identify the name and address (and "lobbyist" status) of these contributors on the statement. These contributions are entered in Section A, "Total Contributions from small contributors." The other two (2) tickets were sold to Dick Grayson. This \$40 contribution is entered in Section B, "Contributions from Individuals over \$30.00 in the Aggregate."

### In-Kind Contribution

An in-kind contribution of stamps and envelopes was also provided to the committee by Cathy White. The value of the contribution is \$100, which is the amount she paid for these items. This contribution is entered in Section M, "In-Kind Contributions." Note that the contributor's address, description and value of the contribution is also entered.

### Ticket Sales for Golf Outing

On September 15, the golf outing was held. Five tickets were sold for \$60 each. Four (4) tickets were sold to Max Shreck for a total of \$240. The remaining ticket was sold to Mr. Garfield. The entire ticket amount is a contribution. The two (2) contributors are separately entered in Section B, "Contributions from Individuals over \$30 in the Aggregate."

### Ads in Program Book for Fundraising Event

The sale of advertisements in the program book for the golf outing produced a total of \$800. Section 9-333b(b)(10), General Statutes, excludes from the definition of contribution, the purchase of advertising space, which clearly identifies the purchaser, in a program for a fundraising affair provided that the cumulative purchase of ads from the committee does not exceed \$250 for a business entity or \$50 for an individual for the entire campaign.

Each full page ad cost \$100 and each half-page ad cost \$50. The four (4) full-page ads purchased by various business entities and the two (2) half-page ads purchased by different partnerships (considered a business entity as

defined by Section 9-333a(7)) are therefore not contributions. The four (4) half-page ads purchased by individuals are also not considered contributions. Consequently, the total monetary receipts from advertising in the program book which are not contributions are \$700. Each of these ad purchases is itemized in Section K(3). The sum of \$700 is entered in Section K(2) under "Ad booklet purchases." The \$700 is in Section K that states, "Total Fundraising Receipts, not Considered Contributions, From All Events." The purchase of the full-page ad for \$100 by Mr. Wayne is considered a contribution and entered in Section B "Contributions from Individuals over \$30.00 in the Aggregate." Other details of the fundraiser are also identified in Section K(1).

### **Donations for Fundraising Event from Business Entities Not Considered Contributions - Not Reported**

Finally, the committee received \$100 worth of beverages, \$40 worth of golf balls, and \$94 dollars worth of hats from different business entities for the golf outing. In accordance with Section 9-333b(b)(12), General Statutes, a business entity may provide up to \$100 worth of goods and services to a committee for a fundraiser, and the donation is not a contribution.

### **EXPENSES**

The committee made several expenditures for this period. On August 15, the committee purchased \$500 in political advertisements from The Register. Each expenditure paid during the reporting period (excluding loan repayments) is entered in Section N, "Expenditures." Each expenditure must be itemized, including the name and address of the payee, the date, amount and code for the purpose of the expenditure. The committee also paid the New Haven Town Committee \$200 for its pro-rata share of the flyer which must also be reported in Section N. While there is a general prohibition on transfers of funds by a candidate committee to any other committee until after the election (see Section 9-333r, General Statutes) there are two exceptions: (1) a candidate committee may pay its pro-rata share of the cost of advertising that supports both its candidate and other candidate(s) or of the operation of a campaign headquarters shared with other candidates, and (2) a candidate committee may reimburse a party committee for any expenditure made on behalf of a candidate. In case of a reimbursement to a party committee, there is no need to list a secondary payee.

As authorized by the treasurer, Leslie Jones purchased \$110 worth of food at Foodways Market and soda from Beverages R Us for \$30 for the picnic. She provided the treasurer with a sales receipt, and was reimbursed on September 1. This reimbursement is also entered in Section N. The primary payee is the person to whom the committee check is issued, i.e. Leslie Jones. The secondary payees are those who are paid by the primary payee paid, i.e. Foodways and Beverages R Us. Beverages R Us is not listed on the report as a

secondary payee as the soda cost \$30 and secondary payees need only be listed if the amount exceeds \$100, (except for payments to credit card companies in which case all secondary payees would need to be listed). Foodways is listed on the report as a secondary payee as the amount paid by Leslie to them was over \$100.

On September 1, Fleet Bank assessed \$6 in service charges on the account. This is also separately entered in Section N.

On September 3, the committee made a loan repayment of \$100 to Fleet Bank. This is entered in Section N, entitled "Expenditure." Note that the name and complete address of the creditor, date and amount of check must be entered. Also on September 3, the committee paid \$200 to the New Haven Town Committee for the pro rata value of the rental of campaign headquarters. This expenditure is itemized in Section N.

On September 5, the committee incurred an obligation of \$100 to EZ Printing for the printing of tickets and the program book for the golf outing. Then on September 25, the committee also incurred an obligation of \$100 to WELI, for radio advertisements. These items have not yet been paid, and are therefore entered in Section O, "Expenses Incurred During this Period but Not Paid." The itemization required for expenditures also applies to incurred expenses.

On September 19, the committee paid \$400 to the New Haven Country Club. This is entered in Section N.

## **Campaign Expenses Paid by Candidate**

Four expenses were paid directly by the candidate: (1) \$70 for printing of brochures, (2) \$50 for a dinner ticket for a charitable event from the United Way of New Haven, (3) \$100 for lumber for signs, and (4) \$20 for paper goods for the picnic. Mary Smith sought reimbursement for all these expenses. In order for a candidate to qualify for reimbursement, several conditions must be satisfied in addition to the prior authorization of the treasurer. They are:

- (a) the item must be a permissible campaign related expense in accordance with Section 9-333i(g), General Statutes,
- (b) the candidate must submit a detailed accounting of the expense to the treasurer, including cash register receipts or other proof of payment, and the accounting must be disclosed in Section P of the ED-45, and
- (c) the candidate must sign the certification of expenses included on the form.

The candidate must account for each expense he or she paid from personal funds which exceeds \$50, regardless of whether the candidate seeks reimbursement except for his/her own telephone calls, travel and meals for which the candidate does not seek reimbursement.

To obtain reimbursement, the candidate must complete Section P. The actual vendor's name and complete address, purpose of the expenditure, date and the amount are also entered here. An indication of an intent to seek reimbursement must be included. Finally, this Section must be signed and dated by the candidate. The treasurer enters the actual reimbursement of \$240 made to the candidate in Section N, "Expenditures." By contrast, note that the candidate's name, and address, purpose of expenditure, date and amount of the check are entered.

## **COMPLETING THE SUMMARY PAGE**

Before preparing the Summary Page, each of the sections should be completed and added separately. It is extremely helpful to complete the "Monetary Receipts Worksheet" before proceeding to Column A of the Summary Page.

Complete Section I of the Summary Page, by providing the name of the committee, the treasurer's name and complete address exactly as it appears on the committee registration form (ED-49). In Section 2, the name of the candidate, office sought, and district number are provided. Additionally, the date of the primary and/or the election is entered there. In Section 3, enter the due date, and the period covered by the report. In Section 4 the box which corresponds to the date or type of report filed in part (a) is checked. If this report is to terminate the committee or to amend a previous filed report, the appropriate box in part (c) of Section 4 would have been checked. The treasurer is required to sign and date the report at the bottom of the Summary Page.

## **AGGREGATE**

Aggregate means the total amount of the specific financial activity to date, and when used for a candidate committee, it means the total amount since the formation of the committee.

As the example begins with the start of the campaign activity, the aggregate for the initial report is equal to the amount entered for that activity. On the Summary Page, Column A is equal to Column B on this first report.



## Summary of Transactions

### ***Receipts***

1. \$25 check from Leslie Jones.  
(Section A)
2. \$80 check from John Brown.  
(Section B)
3. \$40 cash from Samuel Johnston.  
(Section B)
4. \$200 check from Jack Smith (Mary's husband).  
(Section B)
5. \$100 check from the New Haven Town Committee.  
(Section C)
6. \$100 check from Better Connecticut PAC.  
(Section C)
7. \$800 loan from Fleet Bank.  
(Section I)
8. \$400 loan from Mary Smith.  
(Section I)
9. \$600 gift from Mary Smith.  
(Section G)
10. \$15 cash from anonymous contributors.  
(Section D)
11. \$5 in interest from Fleet Bank.  
(Section H)
12. In-kind contribution from Cathy White valued at \$100 for postage and envelopes.  
(Section M)
13. \$400 from twenty (20) fundraising tickets purchased separately for \$20  
(Section A)
14. \$700 for four (4) full-page \$100 ads (purchased by business entities), and six  
(6) half-page \$50 ads.  
(Section K)
15. \$40 for two (2) fundraising tickets purchased by Dick Grayson.  
(Section B)

***\* (Note: Numbers refer to the numbers in circles on the sample statement.)***

16. \$100 for the purchase of one full-page \$100 ad by Bruce Wayne.  
(Section B)
17. \$240 for the purchase of four (4) tickets to the golf outing by Max Shrek.  
(Section B)
18. \$60 for the purchase of one ticket to the golf outing by Mr. Garfield.  
(Section B)

### ***Expenditures***

19. \$500 to The Register for political advertisements.  
(Section N)
20. \$200 to New Haven Town Committee for the pro-rata share of the flyer.  
(Section N)
21. \$6 to Fleet Bank for bank service charges.  
(Section N)
22. \$140.00 to reimburse Leslie Jones for purchase of \$110 worth of food and \$30 for beverages. *Note:* That Foodways Rentals is listed as a secondary payee for this transaction.  
(Section N)
23. \$100 for loan payment to Fleet Bank  
(Section N)
24. \$200 to New Haven Town Committee for the pro-rata share of headquarters rent.  
(Section N)
25. \$400 for the golf outing to the New Haven Country Club.  
(Section N)
26. Expense incurred but not yet paid of \$100 for the printing of the program book by EZ Printing.  
(Section O)
27. Expense incurred but not yet paid of \$100 for radio advertisements purchased from WELI.  
(Section O)

### ***Campaign Expenses Paid by Candidate***

28. \$240 to reimburse the candidate: \$70 for printing of brochure, \$50 for purchase of a charitable dinner ticket, \$100 for lumber for signs, and \$20 for paper goods.  
(Section P and Section N)

STATEMENT OF RECEIPTS AND EXPENDITURES  
SUMMARY PAGE

Page #1

1. NAME OF COMMITTEE (In Full) <b>Elect Mary Smith State Representative</b>	
NAME OF TREASURER <input type="checkbox"/> (Check if treasurer has changed since last report) <b>Alfred T. Butler</b>	
ADDRESS OF TREASURER (No. Street, Town, State, Zip Code) <b>100 Elm Street New Haven CT 06000</b> <input type="checkbox"/> Check if address different than previously reported.	
2. NAME OF CANDIDATE (See instructions) <b>Mary Smith</b>	
OFFICE SOUGHT (If applicable) <b>State Representative</b>	DISTRICT NO. (If appl.) <b>152</b>
PRIMARY, ELECTION, REFERENDUM (Date) <b>November 7, 2000</b>	

3. FILING DUE DATE: <b>10-12-2000</b>
PERIOD COVERED: <b>7-26-2000</b> THROUGH <b>10-5-2000</b>
4. TYPE OF REPORT (check or fill all appropriate boxes) (a) <input type="checkbox"/> 2nd Thursday in month of January 19 ____ <input type="checkbox"/> 2nd Thursday in month of April 19 ____ <input type="checkbox"/> 2nd Thursday in month of July 19 ____ <input checked="" type="checkbox"/> 2nd Thursday in month of October 19 <b>2000</b> <input type="checkbox"/> 7th day preceding Primary on ____ <input type="checkbox"/> Within 30 days following Primary on ____ <input type="checkbox"/> 7th day preceding Election or Referendum on ____ <input type="checkbox"/> Within 45 days following Election or Ref. on ____ <input type="checkbox"/> 90 Day Report <input type="checkbox"/> Deficit Report (b) State Central Committees Only <input type="checkbox"/> January 30th, 19 ____ <input type="checkbox"/> April 10, 19 ____ <input type="checkbox"/> July 10, 19 ____ <input type="checkbox"/> 12th day preceding Election on ____ (c) <input type="checkbox"/> Amendment to previous report filed ____ <input type="checkbox"/> Termination report

	COLUMN A THIS PERIOD	COLUMN B AGGREGATE
5. Balance on hand January 1, 19 ____ for Ongoing and Party committees OR the Balance on hand from the day the Committee was formed for all other committees.....		(5) <b>0</b>
6. Balance on hand at the beginning of Reporting Period.....	(6) <b>0</b>	
7a. Contributions received from Individuals (Sections A and B) .....	(7a) <b>1,185.00</b>	<b>1,185 00</b>
7b. Contributions and reimbursements received from Other Committees (Section C).....	(7b) <b>200.00</b>	<b>200.00</b>
7c. Other monetary receipts (Section D-K) .....	(7c) <b>2,520.00</b>	<b>2,520.00</b>
7d. Total monetary receipts (add totals in lines 7a, 7b and 7c for total receipts) .....	(7d) <b>3,905.00</b>	<b>3,905.00</b>
8. Subtotals (add totals in lines 6 and 7d for Column A, and add totals in lines 5 and 7d for Column B) .....	(8) <b>3,905.00</b>	<b>3,905.00</b>
9. Expenditures (Section N) .....	(9) <b>1,786.00</b>	<b>1,786.00</b>
10. Balance on hand at close of Reporting Period (subtract line 9 from 8) .....	(10) <b>2,119.00</b>	<b>2,119.00</b>
11. In-Kind Contributions Received (Section M).....	(11) <b>100.00</b>	<b>100.00</b>
12. Expenses incurred but not paid to date (Section O) .....	(12) <b>200.00</b>	<b>200.00</b>
13. Candidates payment of expenses (Section P).....	(13) <b>240.00</b>	
14. Loans outstanding (total; principal and interest due) .....	(14) <b>1,100.00</b>	

I do hereby swear, under penalty of false statement, that I make this statement in accordance with the requirements of Chapter 150 of the Connecticut General Statutes, that this is a complete itemized statement which contains all of the information required by Chapter 150, for the period shown above, and that I have provided a copy thereof to the candidate or chairman.

Alfred T. Butler

Signature of Treasurer or Deputy Treasurer

Alfred T. Butler

Print or Type Name of Preparer

October 10, 2000

Date

PENALTY FOR FALSE STATEMENT IS PUNISHABLE BY FINE NOT TO EXCEED \$1000.00,  
OR IMPRISONMENT FOR NOT MORE THAN ONE YEAR, OR BOTH.

**RECEIPTS**

(Committee Receipts are disclosed in Sections A-K of this form)

<b>A. Total contributions from small contributors - Received this Period Only</b> (Small contributors are those whose total monetary contributions for all periods have not exceeded \$30)				Subtotal Section A \$ <b>425.00</b>	
<b>B. Contributions from individuals over \$30 in the Aggregate</b> (SEE INSTRUCTIONS FOR WHAT INFORMATION MUST BE DISCLOSED)					
<b>John Brown</b> <b>90 Maple St.</b> <b>Hartford, CT</b>	PRINCIPAL OCCUPATION	<input type="checkbox"/> Cash <input checked="" type="checkbox"/> Personal <input type="checkbox"/> Other	Date Rec'd. <b>7-28</b>	Amt of Contribution \$ <b>80.00</b>	
	NAME OF EMPLOYER				
	Is the Contributor a: Lobbyist <input checked="" type="checkbox"/> Lobbyist Spouse <input type="checkbox"/> Lobbyist Dependent <input type="checkbox"/>	Does the contributor or business he/she is associated with have a contract with the State valued at more than \$5,000 <input type="checkbox"/> Yes <input type="checkbox"/> No	Aggregate <b>\$ 80.00</b>		
<b>Samuel Johnson</b> <b>44 Spruce St.</b> <b>East Hartford, CT</b>	PRINCIPAL OCCUPATION	<input checked="" type="checkbox"/> Cash <input type="checkbox"/> Personal <input type="checkbox"/> Other	Date Rec'd. <b>7-28</b>	Amt of Contribution \$ <b>40.00</b>	
	NAME OF EMPLOYER				
	Is the Contributor a: Lobbyist <input type="checkbox"/> Lobbyist Spouse <input type="checkbox"/> Lobbyist Dependent <input type="checkbox"/>	Does the contributor or business he/she is associated with have a contract with the State valued at more than \$5,000 <input type="checkbox"/> Yes <input type="checkbox"/> No	Aggregate <b>\$ 40.00</b>		
<b>Jack Smith</b> <b>25 Oak St.</b> <b>New Haven, CT</b>	PRINCIPAL OCCUPATION <b>Plumber</b>	<input type="checkbox"/> Cash <input checked="" type="checkbox"/> Personal <input type="checkbox"/> Other	Date Rec'd. <b>7-28</b>	Amt of Contribution \$ <b>200.00</b>	
	NAME OF EMPLOYER <b>Jones Plumbing</b>				
	Is the Contributor a: Lobbyist <input type="checkbox"/> Lobbyist Spouse <input type="checkbox"/> Lobbyist Dependent <input type="checkbox"/>	Does the contributor or business he/she is associated with have a contract with the State valued at more than \$5,000 <input type="checkbox"/> Yes <input type="checkbox"/> No	Aggregate <b>\$ 200.00</b>		
<b>Richard Grayson</b> <b>30 Redwood St.</b> <b>Fairfield, CT</b>	PRINCIPAL OCCUPATION	<input type="checkbox"/> Cash <input checked="" type="checkbox"/> Personal <input type="checkbox"/> Other	Date Rec'd. <b>7-28</b>	Amt of Contribution \$ <b>40.00</b>	
	NAME OF EMPLOYER				
	Is the Contributor a: Lobbyist <input type="checkbox"/> Lobbyist Spouse <input type="checkbox"/> Lobbyist Dependent <input type="checkbox"/>	Does the contributor or business he/she is associated with have a contract with the State valued at more than \$5,000 <input type="checkbox"/> Yes <input type="checkbox"/> No	Aggregate <b>\$ 40.00</b>		
<b>Bruce Wayne</b> <b>12 Beach Ave.</b> <b>Southbury, CT</b>	PRINCIPAL OCCUPATION	<input type="checkbox"/> Cash <input checked="" type="checkbox"/> Personal <input type="checkbox"/> Other	Date Rec'd. <b>7-28</b>	Amt of Contribution \$ <b>100.00</b>	
	NAME OF EMPLOYER				
	Is the Contributor a: Lobbyist <input type="checkbox"/> Lobbyist Spouse <input type="checkbox"/> Lobbyist Dependent <input type="checkbox"/>	Does the contributor or business he/she is associated with have a contract with the State valued at more than \$5,000 <input type="checkbox"/> Yes <input type="checkbox"/> No	Aggregate <b>\$ 100.00</b>		
<b>Max Shrek</b> <b>92 Pine St.</b> <b>Glastonbury, CT</b>	PRINCIPAL OCCUPATION <b>C.E.O.</b>	<input type="checkbox"/> Cash <input checked="" type="checkbox"/> Personal <input type="checkbox"/> Other	Date Rec'd. <b>7-28</b>	Amt of Contribution \$ <b>240.00</b>	
	NAME OF EMPLOYER <b>Shreks Department Store</b>				
	Is the Contributor a: Lobbyist <input type="checkbox"/> Lobbyist Spouse <input type="checkbox"/> Lobbyist Dependent <input type="checkbox"/>	Does the contributor or business he/she is associated with have a contract with the State valued at more than \$5,000 <input type="checkbox"/> Yes <input type="checkbox"/> No	Aggregate <b>\$ 240.00</b>		
<b>Jeffrey Garfield</b> <b>1 Lynk St.</b> <b>New Haven, CT</b>	PRINCIPAL OCCUPATION	<input type="checkbox"/> Cash <input checked="" type="checkbox"/> Personal <input type="checkbox"/> Other	Date Rec'd. <b>7-28</b>	Amt of Contribution \$ <b>60.00</b>	
	NAME OF EMPLOYER				
	Is the Contributor a: Lobbyist <input type="checkbox"/> Lobbyist Spouse <input type="checkbox"/> Lobbyist Dependent <input type="checkbox"/>	Does the contributor or business he/she is associated with have a contract with the State valued at more than \$5,000 <input type="checkbox"/> Yes <input type="checkbox"/> No	Aggregate <b>\$ 60.00</b>		
				Subtotal Section B (INCLUDE ALL CONTRIBUTIONS FROM EXTRA PAGES)	<b>\$ 760.00</b>

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**C. Contributions and Reimbursements From Other Committees Or Contributions From Persons Other Than Individuals**  
(Identify each reimbursement - see Instructions)

Name and Address of Committee, Treasurer's Name	<input checked="" type="checkbox"/> Contribution <input type="checkbox"/> Reimbursement	Date Rec'd Aggregate	Amt. Rec'd
<b>New Haven Town Committe</b> <b>70 Pine St.</b> <b>New Haven, C</b> <b>John Smith</b>	<input checked="" type="checkbox"/> Contribution <input type="checkbox"/> Reimbursement	<b>7-28-00</b> <b>\$100.00</b>	<b>\$100.00</b>
<b>Better Connecticut PAC</b> <b>5 Vine St.</b> <b>Bridgeport, CT</b> <b>Lisa Baker</b>	<input checked="" type="checkbox"/> Contribution <input type="checkbox"/> Reimbursement	<b>7-28-00</b> <b>\$</b>	<b>100.00</b>
	<input type="checkbox"/> Contribution <input type="checkbox"/> Reimbursement	Date Rec'd Aggregate <b>\$</b>	
	<input type="checkbox"/> Contribution <input type="checkbox"/> Reimbursement	Date Rec'd Aggregate <b>\$</b>	
Subtotal Section C (INCLUDE ALL CONTRIBUTIONS FROM EXTRA PAGES)			<b>\$ 200.00</b>

**D. Anonymous Contributions**

Specify the dollar amount of the bills received

\$ 1 bills 15

\$ 5 bills \_\_\_\_\_

\$10 bills \_\_\_\_\_

coins \_\_\_\_\_

Anonymous Contributions  
over \$15 Prohibited!Subtotal Section D **\$ 15.00****E. Amount Transferred from Corporate or Business Treasury**Subtotal Section E **\$ N/A****F. Amount Transferred from Parent Organization**Subtotal Section F **\$ N/A****G. Personal funds of the Candidate Received this Period**Subtotal Section G **\$ 600.00****H. Interest from Deposits in Authorized Accounts**Subtotal Section H **\$ 5.00****I. Loans Received This Period**

Creditor's Full Name, Complete Address

**Mary Smith**  
**250 Oak St.**  
**New Haven, C** **\$ 400.00**

Amount Received

Cosigner/Guarantor, Full Name, Complete Address

**None**

Creditor's Full Name, Complete Address

**Fleet Bank**  
**900 Pine St.**  
**New Haven, C** **\$ 800.00**

Amount Received

Cosigner/Guarantor, Full Name., Complete Address

**Peter Penguin** **Samuel Johnston**  
**3 Ire St.** **44 Spruce St.**  
**East Haven, C** **East Hartford, CT**

Subtotal Section I **\$ 1,200.00****J. Miscellaneous Monetary Receipts not Considered Contributions**Subtotal Section J **\$ 0.00**

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**K. Fundraising Events** (Please see instructions)

(1) List each Fundraising Event with date, type of event and ticket price

#1 <b>9-9-2000</b> <b>Picnic</b> <b>20.00</b> Date Type of Event Ticket Price	#3 _____ Date Type of Event Ticket Price
#2 <b>9-15-2000</b> <b>Golf Outing</b> <b>60.00</b> Date Type of Event Ticket Price	#4 _____ Date Type of Event Ticket Price

(2) For each event enter the gross proceeds for each category (include only receipts **not considered contributions** (See Section 9-333b(b), C.G.S.))

#1 Ad booklet purchases ..... \$ <b>0</b> Other Purchases not considered contributions \$ <b>0</b> Total Event #1 ..... \$ <b>-0-</b>	#3 Ad booklet purchases ..... \$ _____ Other Purchases not considered contributions \$ _____ Total Event #3 ..... \$ _____
#2 Ad booklet purchases ..... \$ <b>700.00</b> Other Purchases not considered contributions \$ _____ Total Event #2 ..... \$ <b>700.00</b>	#4 Ad booklet purchases ..... \$ _____ Other Purchases not considered contributions \$ _____ Total Event #4 ..... \$ _____

(3) Purchase of Advertising Space in Program Booklets **Not** Considered Contributions

Name & Address	Amount of Ad	Event #	Name & Address	Amount of Ad	Event #
<b>Linda Meyers</b> <b>12 Cypress St.</b> <b>Hartford, CT</b>	<b>50.00</b>	<b>2</b>	<b>Bahre Buick</b> <b>12 Auto Ave.</b> <b>New Haven, CT</b> <b>Edward Bahre, CEO</b>	<b>100.00</b>	<b>2</b>
<b>Janet Hill</b> <b>30 Broad St.</b> <b>Hartford, CT</b>	<b>50.00</b>	<b>2</b>	<b>Frank Ford</b> <b>14 Auto Ave.</b> <b>New Haven, CT</b> <b>Kay Frank, CEO</b>	<b>100.00</b>	<b>2</b>
<b>James Clavet</b> <b>12 Oak St.</b> <b>Hartford, CT</b>	<b>50.00</b>	<b>2</b>	<b>Prime Dodge</b> <b>16 Auto Ave.</b> <b>Branford, CT</b> <b>Jay Smith, CE</b>	<b>100.00</b>	<b>2</b>
<b>Leslie Jones</b> <b>24 Briarwood Ave</b> <b>New Haven, CT</b>	<b>50.00</b>	<b>2</b>			
<b>Smith &amp; Jones</b> <b>12 Light Lane</b> <b>New Haven, CT</b> <b>Edward Smith, M. Ptr.</b>	<b>50.00</b>	<b>2</b>			
<b>Baker &amp; Greene</b> <b>20 Beacon St.</b> <b>New Haven, CT</b> <b>George Greene, M. Ptr.</b>	<b>50.00</b>	<b>2</b>			
<b>Morton Mazda</b> <b>10 Auto Ave</b> <b>New Haven, CT</b> <b>John Morton, CEO</b>	<b>100.00</b>	<b>2</b>			

Subtotal Section K

**\$700.00**

### MONETARY RECEIPTS WORKSHEET

**Contributions Received from Individuals**

• Contributions from Small Contributors (Subtotal Section A) ..... **425.00**  
 • Contributions from Individuals (Subtotal Section B) .....  
 + **760.00**

Total Sections A & B (Enter on Line 7a Column A) **\$ 1,185.00**

**Contributions and Reimbursements from Other Committees**

Total Sections C (Enter on Line 7b Column A) **\$ 200.00**

**Other Monetary Receipts**

• Anonymous Contributions (Subtotal Section D) ..... **15.00**  
 • Amount Transferred from Business Entity (Subtotal Section E) ..... **-0-**  
 • Amount Transferred from Parent Organization (Subtotal Section F) ..... **-0-**  
 • Personal Funds of the Candidate (Subtotal Section G) ..... **600.00**  
 • Interest from Deposits (Subtotal Section H) ..... **5.00**  
 • Loans Received this Period (Subtotal Section I) ..... **1,200.00**  
 • Miscellaneous Monetary Receipts (Subtotal Section J) ..... **-0-**  
 • Receipts from Fundraisers not considered Contributions (Subtotal Section K) ..... **700.00**  
 +

Total Sections D-K (Enter on Line 7c Column A) **\$ 2,520.00**

**L. Refundable Deposit to Telephone Company**

Name & Address of Individual Advancing Deposit

NOTE: THIS SECTION REFERS ONLY TO DEPOSITS BY INDIVIDUALS FROM PERSONAL FUNDS TO BENEFIT THE COMMITTEE, NOT DEPOSITS MADE BY THE COMMITTEE

☐ Lobbyist ☐ Lobbyist Spouse ☐ Lobbyist Dependent

Subtotal Section L **\$ -0-**

Amount of Deposit \$

Date Deposit Made

(This section will not be entered on the summary page)

**M. In-Kind Contributions** (this section will not be entered on summary page)

Full Name, Complete Address	Description of In-Kind Contribution	Date Received	Estimated Value Aggregate	Estimated Value of This Contribution
<b>Cathy White, 10 Cedar Street Danbury, CT</b>	<b>Postage &amp; Envelopes</b>			
Is Contributor a: <input type="checkbox"/> Lobbyist <input type="checkbox"/> Lobbyist Spouse <input type="checkbox"/> Lobbyist Dependent		<b>9-9-00</b>	<b>\$ 100.00</b>	<b>\$ 100.00</b>
Is Contributor a: <input type="checkbox"/> Lobbyist <input type="checkbox"/> Lobbyist Spouse <input type="checkbox"/> Lobbyist Dependent				
Is Contributor a: <input type="checkbox"/> Lobbyist <input type="checkbox"/> Lobbyist Spouse <input type="checkbox"/> Lobbyist Dependent				
Is Contributor a: <input type="checkbox"/> Lobbyist <input type="checkbox"/> Lobbyist Spouse <input type="checkbox"/> Lobbyist Dependent				

N. Expenditures						
1	2	3	4	5	6	7
Name, Address	Purpose of Expenditure (by Code)	Secondary Payee Amount (if any)	Candidate(s) supported or opposed (if applicable)	Check Number	Date (MM/DD/YYYY)	Amount
<b>The Register</b> <b>100 Granet Dr.</b> <b>New Haven, C</b>	<b>A</b>		<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>	<b>110</b>	<b>08-15-00</b>	<b>500.00</b>
<b>New Haven Town Com.</b> <b>70 Pine St.</b> <b>New Haven, C</b>	<b>RC</b>		<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>	<b>111</b>	<b>08-15-00</b>	<b>200.00</b>
<b>Fleet Bank</b> <b>1 Banking Center</b> <b>New Haven, CT</b>	<b>B</b>		<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>		<b>09-01-00</b>	<b>6.00</b>
<b>Leslie Jones</b> <b>24 Briarwood Dr.</b> <b>New Haven, CT</b>	<b>RW</b>		<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>	<b>113</b>	<b>09-01-00</b>	<b>140.00</b>
<b>Foodways</b> <b>1 Main St.</b> <b>New Haven, CT</b>	<b>SP-F</b>	<b>110.00</b>	<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>		<b>09-03-00</b>	
<b>Fleet Bank</b> <b>900 Pine Street</b> <b>New Haven, CT</b>	<b>L</b>		<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>	<b>114</b>	<b>09-03-00</b>	<b>100.00</b>
<b>New Haven Town Com.</b> <b>70 Pine Street</b> <b>New Haven, CT</b>	<b>RC</b>		<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>	<b>115</b>	<b>09-03-00</b>	<b>200.00</b>
<b>New Haven Country Club</b> <b>1 Golf Drive</b> <b>New Haven, CT</b>	<b>F</b>		<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>	<b>116</b>	<b>09-19-00</b>	<b>400.00</b>
<b>Mary Smith</b> <b>250 Oak St.</b> <b>New Haven, CT</b>	<b>RW</b>		<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>	<b>117</b>	<b>09-25-00</b>	<b>240.00</b>
			<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>			
			<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>			
			<input type="checkbox"/> <i>In-kind Cntrb.</i> <input type="checkbox"/> <i>Ind. Exp.</i>			
Subtotal Section N (Enter on Line 9, Column A)						<b>\$ 1,786.00</b>

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O. Expenses Incurred During this Period but Not Paid	1	2	3	4
Name, Complete Address of Oblige	Expenditure Code	Date (MM/DD/YYYY)	Amount Incurred	
<b>EZ Printing</b> <b>31 Quartz St.</b> <b>New Haven, C</b>	<b>PR</b>	<b>09-05-00</b>	<b>\$ 100.00</b>	<b>26</b>
<b>WELI</b> <b>33 Stone Plac</b> <b>New Haven, C</b>	<b>A</b>	<b>09-25-00</b>	<b>100.00</b>	<b>27</b>
Subtotal Section O (Enter on line 12, Column A)			<b>\$ 200.00</b>	
Previously Reported Unpaid Expenses Still Outstanding			<b>\$ -0-</b>	
			+	
(Enter total on Line 12, Column B on the Summary Page			<b>\$ 200.00</b>	

**P. Campaign Expenses Paid by Candidate (Candidate and Exploratory Committees Only)**

Name, Complete Address of Payee	Purpose of Expenditure (By Code)	Is Reimbursement Claimed? (✓)	Date (MM,DD,YYYY)	Amount
<b>EZ Printing</b> <b>21 Quartz St.</b> <b>New Haven, C</b>	<b>PR</b>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	<b>08-10-2000</b>	<b>70.00</b> \$
<b>United Way of New Haven</b> <b>87 Poplar St.</b> <b>New Haven, C</b>	<b>M</b>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	<b>08-10-2000</b>	<b>50.00</b>
<b>New Haven Lumber</b> <b>12 Beech St.</b> <b>New Haven, C</b>	<b>A</b>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	<b>09-07-2000</b>	<b>100.00</b>
<b>Kyle Paper Goods</b> <b>121 Chapel St.</b> <b>New Haven, C</b>	<b>F</b>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO	<b>09-07-2000</b>	<b>20.00</b>
		<input type="checkbox"/> YES <input type="checkbox"/> NO		
		<input type="checkbox"/> YES <input type="checkbox"/> NO		
		<input type="checkbox"/> YES <input type="checkbox"/> NO		
		<input type="checkbox"/> YES <input type="checkbox"/> NO		
		<input type="checkbox"/> YES <input type="checkbox"/> NO		
Subtotal Section P (Enter on Line 13, Column A)				<b>\$ 240.00</b>

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I, the candidate named below, do hereby certify under penalty of false statement, to my campaign treasurer, that the above is an itemized statement setting forth in detail all the monies expended by me during this period for which an accounting is required, pursuant to Section 9-333i(k) of the Connecticut General Statutes.

Mary Smith  
SIGNATURE OF CANDIDATE

Mary Smith  
PRINT OR TYPE NAME OF CANDIDATE

October 10, 2000  
DATE